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PTO/SB/05 (4/98)

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. 83000.1035C

First Inventor or Application Identifier SWAMINATHAN et al.

Title METHOD AND APPARATUS FOR TIMELY DELIVERY OF A...

Express Mail Label No. EL582484292US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☐ * Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages 39]
(preferred arrangement set forth below)
- Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 9]
4. Oath or Declaration [Total Pages 9]
- a. ☐ Newly executed (original or copy)
- b. ☒ Copy from a prior application (37 C.F.R. § 1.63(d))
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- i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

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ACCOMPANYING APPLICATION PARTS

7. ☒ Assignment Papers (cover sheet & document(s))
8. ☐ 37 C.F.R. § 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
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UNITED STATES PATENT APPLICATION
FOR
METHOD AND APPARATUS
FOR TIMELY DELIVERY OF
A BYTE CODE AND SERIALIZED
OBJECTS STREAM

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BACKGROUND OF THE INVENTION

1. FIELD OF THE INVENTION

5 This invention relates to the field of computer software, and more specifically, to object-oriented computer applications.

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15 registered trademarks of Sun Microsystems, Inc. in the United States and other countries.

2. BACKGROUND ART

20 With advancements in network technology, the use of networks for facilitating the distribution of media information, such as text, graphics, and audio, has grown dramatically, particularly in the case of the Internet and the World Wide Web. One area of focus for current developmental efforts is in the field of web applications and network interactivity. In addition to passive
25 media content, such as HTML definitions, computer users or "clients"

coupled to the network are able to access or download application content, in the form of applets, for example, from "servers" on the network.

To accommodate the variety of hardware systems used by clients, applications or applets are distributed in a platform-independent format such as the Java™ class file format. Object-oriented applications are formed from multiple class files that are accessed from servers and downloaded individually as needed. Class files contain bytecode instructions. A "virtual machine" process that executes on a specific hardware platform loads the individual class files and executes the bytecodes contained within.

A problem with the class file format and the class loading process is that no mechanism is provided to ensure timely delivery of class files. The timing of the storage, transfer and processing of the individual class files is thus not scheduled or guaranteed to occur within a particular time frame. Also, an application may contain many class files, all of which are loaded and processed in separate transactions. Thus, a delay in the delivery of even one class file slows down the application and degrades performance.

These problems can be understood from a review of general object-oriented programming and an example of a current network application environment.

Object-Oriented Programming

Object-oriented programming is a method of creating computer programs by combining certain fundamental building blocks, and creating relationships among and between the building blocks. The building blocks in object-oriented programming systems are called "objects." An object is a programming unit that groups together a data structure (one or more instance variables) and the operations (methods) that can use or affect that data. Thus, an object consists of data and one or more operations or procedures that can be performed on that data. The joining of data and operations into a unitary building block is called "encapsulation."

An object can be instructed to perform one of its methods when it receives a "message." A message is a command or instruction sent to the object to execute a certain method. A message consists of a method selection (e.g., method name) and a plurality of arguments. A message tells the receiving object what operations to perform.

One advantage of object-oriented programming is the way in which methods are invoked. When a message is sent to an object, it is not necessary for the message to instruct the object how to perform a certain method. It is only necessary to request that the object execute the method. This greatly simplifies program development.

Object-oriented programming languages are predominantly based on a "class" scheme. The class-based object-oriented programming scheme is generally described in Lieberman, "Using Prototypical Objects to Implement Shared Behavior in Object-Oriented Systems," OOPSLA 86 Proceedings, September 1986, pp. 214-223.

A class defines a type of object that typically includes both variables and methods for the class. An object class is used to create a particular instance of an object. An instance of an object class includes the variables and methods defined for the class. Multiple instances of the same class can be created from an object class. Each instance that is created from the object class is said to be of the same type or class.

To illustrate, an employee object class can include "name" and "salary" instance variables and a "set_salary" method. Instances of the employee object class can be created, or instantiated for each employee in an organization. Each object instance is said to be of type "employee." Each employee object instance includes "name" and "salary" instance variables and the "set_salary" method. The values associated with the "name" and "salary" variables in each employee object instance contain the name and salary of an employee in the organization. A message can be sent to an employee's employee object instance to invoke the "set_salary" method to modify the employee's salary (i.e., the value associated with the "salary" variable in the employee's employee object).

into machine independent bytecode class files. Each class contains code and data in a platform-independent format called the class file format. The computer system acting as the execution vehicle contains a program called a virtual machine, which is responsible for executing the code in Java™ classes.

- 5 The virtual machine provides a level of abstraction between the machine independence of the bytecode classes and the machine-dependent instruction set of the underlying computer hardware. A "class loader" within the virtual machine is responsible for loading the bytecode class files as needed, and either an interpreter executes the bytecodes directly, or a "just-in-time" (JIT) compiler transforms the bytecodes into machine code, so that they can be
10 executed by the processor.

Sample Java™ Network Application Environment

- 15 Figure 1 is a block diagram illustrating a sample Java™ network environment comprising a client platform 102 coupled over a network 101 to a server 100 for the purpose of accessing Java™ class files for execution of a Java™ application or applet.

- 20 In Figure 1, server 100 comprises Java™ development environment 104 for use in creating the Java™ class files for a given application. The Java™ development environment 104 provides a mechanism, such as an editor and an applet viewer, for generating class files and previewing applets. A set of Java™ core classes 103 comprise a library of Java™ classes that can be
25 referenced by source files containing other/new Java™ classes. From Java™

It is typical for the classes of a Java™ program to be loaded as late during the program's execution as possible; they are loaded on demand from the network (stored on a server), or from a local file system, when first referenced during the Java™ program's execution. The virtual machine
5 locates and loads each class file, parses the class file format, allocates memory for the class's various components, and links the class with other already loaded classes. This process makes the code in the class readily executable by the virtual machine.

10 Timely Delivery

There are a variety of applications for which Java™ byte code or serialized objects need to be delivered to clients in a timely fashion. For example, ensuring timely delivery of byte code is essential when Java™ byte
15 code is used to control time aware media in a push scenario.

Currently, there has been no mechanism available for delivery of byte code in a timely fashion. Currently, the techniques for delivery of byte code use Transmission Control Protocol (TCP) to transmit byte code from servers
20 to clients. TCP does not ensure timely delivery of information.

There are a number of schemes (e.g., Motion Picture Experts Group (MPEG) standards, such as MPEG-1, MPEG-2, MPEG-4, etc.) available for preparing time-sensitive data (e.g., audio, video, etc.) for transmission as
25 media streams. Similarly, there are a number of schemes like Real-time

Transport Protocol (RTP) and MPEG-2 transport stream, to deliver "time aware" media streams in a timely manner. "Time aware" information is information that carries with it additional information representing timing relevant to the use of the information. For example, information that
5 includes time stamps indicating deadlines by which the information should be processed in certain ways is considered "time aware" information.

However, such techniques are designed to deliver media stream, such as audio and video data, not executable byte code. Media streams typically
10 comprise information that is inherently tolerant of corruption or loss of integrity. For example, transient corruption of a few milliseconds of audio or video data creates only a brief distraction for a listener or viewer. However, the slightest corruption of executable byte code can prevent proper execution.

Moreover, one class file of byte code is often dependent upon other
15 class files for proper execution. Existing techniques for timely delivery of media streams do not include provisions for these dependencies. Thus, a technique is needed to provide timely delivery of byte code.

A technique is needed to transform the class file (or a serialized object)
20 into a time aware stream. If the Java™ byte code stream were made time aware, other real time transport mechanisms like RTP could be used to transport the stream in a timely fashion. Such a scheme would facilitate the use of byte code in any multicast or broadcast scenario. This would make it
25 possible to transmit byte code using internet protocols like User Datagram

SUMMARY OF THE INVENTION

A method and apparatus for providing timely delivery of a byte code stream is described. Embodiments of the invention avoid the disadvantages
5 of existing transport techniques. For example, untimeliness and unreliability of delivery are avoided.

Embodiments of the invention enable timely delivery of Java™ byte code in a multicast/broadcast scenario with or without a back channel. The
10 same mechanisms can also be used for delivering (serialized) objects. Multicasting allows transmission of a specially addressed data stream to many users. With multicasting, the data stream does not need to be individually transmitted to each user. Rather, the users can subscribe to the multicasting service, for example by specifying the address of the specially addressed data
15 stream. Broadcasting allows transmission to users without the subscription process of multicasting.

Embodiments of the invention are suitable for use with "push" media, where information is transmitted to users without the need for users to
20 request the information. "Push" media can be transmitted even in environments where there is no back channel to allow the users to communicate back to the source of the media. Embodiments of the invention are also suitable for use with "pull" media, where users request information from the source of the media.

25

Embodiments of the invention serve to make the Java™ byte code (in a class file) "time aware". To ensure timely delivery of byte code, the appropriate deadlines are carried along with the content as time stamps to the clients. These time stamps are used in a header to facilitate such a delivery
5 mechanism. The header is attached to the byte code to allow timely delivery of the byte code stream.

One aspect of transmission that is addressed in timely delivery of byte code is that of packet loss. Prior techniques have provided no way of
10 recovering from a packet loss in the case of Java™ byte code streaming. One possible approach involves retransmission of the entire class at regular intervals in the absence of a back channel. This would help to facilitate random access points in the case of media. However, this may not be possible when the number of clients is too high or when the class (or object) is very
15 large, making retransmission prohibitive.

When a back channel is present packet loss can be signalled to the server, and the lost packet can be retransmitted. When a reliable multicast scheme is used, the data can also be retransmitted from places other than the
20 server.

There are a number of error resilient schemes with in built redundancy available for recovering from a partial packet loss. For example, schemes like forward error correction can be used. The packet loss problem can also be
25 partially solved by using some reliable multicast scheme. Embodiments of

the invention facilitate the use of any error resilience or any reliable multicast algorithm to overcome packet loss.

Another aspect that is addressed is that of security. To ensure the safety
5 of the client, the byte code needs to be authentic. There are a number of security schemes that can be used to ensure the authenticity of the byte code.

Embodiments of the invention also accommodate the use of any security scheme within the security model in the Java™ security APIs.

10 A further aspect that is addressed is that of compression. Compression increases the efficiency of delivery by reducing the time required to transmit a given amount of information. A number of compression schemes, such as LZW, LZS, etc., are available to compress class files for efficiency.

BRIEF DESCRIPTION OF THE DRAWINGS

Figure 1 is an embodiment of a Java™ network application environment.

5

Figure 2 is a block diagram of an embodiment of a computer system capable of providing a suitable execution environment for an embodiment of the invention.

10

Figure 3 is a block diagram of an embodiment of a class file format.

Figure 4 is a diagram illustrating a header for class files or (serialized) objects to ensure timely delivery according to one embodiment of the invention.

15

Figure 5 is a schematic diagram illustrating a technique for delivery of class files in a timely manner according to one embodiment of the invention.

Figure 6 is a flow diagram illustrating a process by which byte code is prepared for timely delivery according to one embodiment of the invention.

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Figures 7A and 7B are flow diagrams illustrating a process by which byte code is received and used in a timely manner according to one embodiment of the invention.

25

DETAILED DESCRIPTION OF THE INVENTION

The invention provides a method and apparatus for providing timely delivery of a byte code stream. In the following description, numerous specific details are set forth in order to provide a more thorough understanding of the present invention. It will be apparent, however, to one skilled in the art, that the present invention may be practiced without these specific details. In other instances, well-known features have not been described in detail in order not to unnecessarily obscure the present invention.

Embodiment of Computer Execution Environment (Hardware)

An embodiment of the invention can be implemented as computer software in the form of computer readable program code executed on a general purpose computer such as computer 200 illustrated in Figure 2, or in the form of bytecode class files executable by a virtual machine running on such a computer. A keyboard 210 and mouse 211 are coupled to a bi-directional system bus 218. The keyboard and mouse are for introducing user input to the computer system and communicating that user input to central processing unit (CPU) 213. Other suitable input devices may be used in addition to, or in place of, the mouse 211 and keyboard 210. I/O (input/output) unit 219 coupled to bi-directional system bus 218 represents such I/O elements as a printer, A/V (audio/video) I/O, etc.

In one embodiment of the invention, the CPU 213 is a microprocessor manufactured by Motorola®, such as the 680X0 processor or a microprocessor manufactured by Intel®, such as the 80X86, or Pentium® processor, or a SPARC® microprocessor from Sun Microsystems®. However, any other suitable microprocessor or microcomputer may be utilized. Main memory 215 is comprised of dynamic random access memory (DRAM). Video memory 214 is a dual-ported video random access memory. One port of the video memory 214 is coupled to video amplifier 216. The video amplifier 216 is used to drive the cathode ray tube (CRT) raster monitor 217. Video amplifier 216 is well known in the art and may be implemented by any suitable apparatus. This circuitry converts pixel data stored in video memory 214 to a raster signal suitable for use by monitor 217. Monitor 217 is a type of monitor suitable for displaying graphic images.

Computer 200 may also include a communication interface 220 coupled to bus 218. Communication interface 220 provides a two-way data communication coupling via a network link 221 to a local network 222. For example, if communication interface 220 is an integrated services digital network (ISDN) card or a modem, communication interface 220 provides a data communication connection to the corresponding type of telephone line, which comprises part of network link 221. If communication interface 220 is a local area network (LAN) card, communication interface 220 provides a data communication connection via network link 221 to a compatible LAN. Wireless links are also possible. In any such implementation, communication interface 220 sends and receives electrical, electromagnetic or optical signals which carry digital data streams representing various types of information.

Network link 221 typically provides data communication through one or more networks to other data devices. For example, network link 221 may provide a connection through local network 222 to host computer 223 or to data equipment operated by an Internet Service Provider (ISP) 224. ISP 224 in turn provides data communication services through the world wide packet data communication network now commonly referred to as the "Internet" 225. Local network 222 and Internet 225 both use electrical, electromagnetic or optical signals which carry digital data streams. The signals through the various networks and the signals on network link 221 and through communication interface 220, which carry the digital data to and from

computer 200, are exemplary forms of carrier waves transporting the information.

Computer 200 can send messages and receive data, including program
5 code, through the network(s), network link 221, and communication interface
220. In the Internet example, server 226 might transmit a requested code for
an application program through Internet 225, ISP 224, local network 222 and
communication interface 220. In accord with the invention, one such
downloaded application is the apparatus for pre-processing and packaging
10 class files described herein.

The received code may be executed by CPU 213 as it is received, and/or
stored in mass storage 212, or other non-volatile storage for later execution.
In this manner, computer 200 may obtain application code in the form of a
15 carrier wave.

The computer systems described above are for purposes of example
only. An embodiment of the invention may be implemented in any type of
computer system or programming or processing environment.

Class File Structure

Embodiments of the invention can be better understood with reference
to aspects of the class file format. Description is provided below of the Java™
25 class file format. Additional description of the Java™ class file format can be

found in Chapter 4, "The class File Format," and Chapter 5, "Constant Pool Resolution," of *The Java™ Virtual Machine Specification*, by Tim Lindholm and Frank Yellin, published by Addison-Wesley in September 1996, © Sun Microsystems, Inc.

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The Java™ class file consists of a stream of 8-bit bytes, with 16-bit, 32-bit and 64-bit structures constructed from consecutive 8-bit bytes. A single class or interface file structure is contained in the class file. This class file structure appears as follows:

10

```
ClassFile {
    u4 magic;
    u2 minor_version;
    u2 major_version;
    u2 constant_pool_count;
    cp_info constant_pool[constant_pool_count-1];
    u2 access_flags;
    u2 this_class;
    u2 super_class;
    u2 interfaces_count;
    u2 interfaces[interfaces_count];
    u2 fields_count;
    field_info fields[fields_count];
    u2 methods_count;
    method_info methods[methods_count];
    u2 attributes_count;
    attribute_info attributes[attributes_count];
}
```

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30 where u2 and u4 refer to unsigned two-byte and four-byte quantities. This structure is graphically illustrated in Figure 3.

In Figure 3, class file 300 comprises four-byte magic value 301, two-byte minor version number 302, two-byte major version number 303, two-byte

constant pool count value 304, constant pool table 305 corresponding to the constant pool array of variable length elements, two-byte access flags value 306, two-byte "this class" identifier 307, two-byte super class identifier 308, two-byte interfaces count value 309, interfaces table 310 corresponding to the
5 interfaces array of two-byte elements, two-byte fields count value 311, fields table 312 corresponding to the fields array of variable length elements, two-byte methods count value 313, methods table 314 corresponding to the methods array of variable length elements, two-byte attributes count value 315, and attributes table 316 corresponding to the attributes array of variable-
10 length elements. Each of the above structures is briefly described below.

Magic value 301 contains a number identifying the class file format. For the Java™ class file format, the magic number has the value 0xCAFEFABE. The minor version number 302 and major version number
15 303 specify the minor and major version numbers of the compiler responsible for producing the class file.

The constant pool count value 304 identifies the number of entries in constant pool table 305. Constant pool table 305 is a table of variable-length
20 data structures representing various string constants, numerical constants, class names, field names, and other constants that are referred to within the ClassFile structure. Each entry in the constant pool table has the following general structure:

```

        cp_info    {
            u1 tag;
            u1 info[];
        }

```

5

where the one-byte "tag" specifies a particular constant type. The format of the info[] array differs based on the constant type. The info[] array may be a numerical value such as for integer and float constants, a string value for a string constant, or an index to another entry of a different constant type in the constant pool table. Further details on the constant pool table structure and constant types are available in Chapter 4 of *The Java™ Virtual Machine Specification (supra)*.

10

Access flags value 306 is a mask of modifiers used with class and

15

interface declarations. The "this class" value 307 is an index into constant pool table 305 to a constant type structure representing the class or interface defined by this class file. The super class value 308 is either zero, indicating the class is a subclass of java.lang.Object, or an index into the constant pool table to a constant type structure representing the superclass of the class

20

defined by this class file.

Interfaces count value 309 identifies the number of direct superinterfaces of this class or interface, and accordingly, the number of elements in interfaces table 310. Interfaces table 310 contains two-byte indices into constant pool table 305. Each corresponding entry in constant pool table 305 is a constant type structure representing an interface which is a direct superinterface of the class or interface defined by this class file.

25

The fields count value 311 provides the number of structures in fields table 312. Each entry in fields table 312 is a variable-length structure providing a description of a field in the class type. Fields table 312 includes only those fields that are declared by the class or interface defined by this class file.

The methods count value 313 indicates the number of structures in methods table 314. Each element of methods table 314 is a variable-length structure giving a description of, and virtual machine code for, a method in the class or interface.

The attributes count value 315 indicates the number of structures in attributes table 316. Each element in attributes table 316 is a variable-length attribute structure. Attribute structures are discussed in section 4.7 of Chapter 4 of *The Java™ Virtual Machine Specification (supra)*.

Embodiments of the invention enable timely delivery of Java™ byte code in a multicast/broadcast scenario with or without a back channel. The same mechanisms can also be used for delivering (serialized) objects. Multicasting allows transmission of a specially addressed data stream to many users. With multicasting, the data stream does not need to be individually transmitted to each user. Rather, the users can subscribe to the multicasting service, for example by specifying the address of the specially addressed data

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10 information from the source of the media.

Embodiments of the invention serve to make the Java™ byte code (in a class file) "time aware". To ensure timely delivery of byte code, the appropriate deadlines are carried along with the content as time stamps to the
15 clients. These time stamps are used in a header to facilitate such a delivery mechanism. The header is attached to the byte code to allow timely delivery of the byte code stream.

One aspect of transmission that is addressed in timely delivery of byte
20 code is that of packet loss. Prior techniques have provided no way of recovering from a packet loss in the case of Java™ byte code streaming. One possible approach involves retransmission of the entire class at regular intervals in the absence of a back channel. This would help to facilitate random access points in the case of media. However, this may not be possible

when the number of clients is too high or when the class (or object) is very large, making retransmission prohibitive.

When a back channel is present packet loss can be signalled to the server, and the lost packet can be retransmitted. When a reliable multicast scheme is used, the data can also be retransmitted from places other than the server.

There are a number of error resilient schemes with in built redundancy available for recovering from a partial packet loss. For example, schemes like forward error correction can be used. The packet loss problem can also be partially solved by using some reliable multicast scheme. Embodiments of the invention facilitate the use of any error resilience or any reliable multicast algorithm to overcome packet loss.

Another aspect that is addressed is that of security. To ensure the safety of the client, the byte code needs to be authentic. There are a number of security schemes that can be used to ensure the authenticity of the byte code.

Embodiments of the invention also accommodate the use of any security scheme within the security model in the Java security APIs.

A further aspect that is addressed is that of compression. Compression increases the efficiency of delivery by reducing the time required to transmit a given amount of information. A number of compression schemes, such as LZW, LZS, etc., are available to compress class files for efficiency.

Figure 5 is a schematic diagram illustrating a technique for delivery of class files in a timely manner according to one embodiment of the invention. Class file (or object) 501 is provided. Class file (or object) 501 may or may not be processed according to one or more suitable optional compression, error-resilience, and security schemes. Header 502 is added to the class file (or object) 501. Class file (or object) 501 with header 502 is passed to transport mechanism 508 for delivery elsewhere. Transport mechanism 508 uses packetizer 503 to transport class file (or object) 501 with header 502 as a series of packets 504, 505, 506, and 507. Transport mechanism 508 determines the appropriate number of packets in which to transport any given class file (or object) 501 with header 502.

Figure 4 is a diagram illustrating a header for class files or (serialized) objects to ensure timely delivery according to one embodiment of the invention. This header, shown as a byte code header, is attached to the class file before it is packetized as illustrated in Figure 5. After packetization, any "time aware" transport mechanism (e.g., RTP, MPEG-2 transport stream, etc.) can be used to transport the data to the client side. This scheme can be adopted for any particular media content (e.g., MPEG-1, MPEG-2, etc.) and transport mechanism (MPEG-2 transport stream, RTP, etc.) by defining the tables for compression, security, and error resiliency schemes.

One embodiment of a header comprises information representing the length of the header, the version, a flag denoting a class or an object, the number of required classes, a "start loading" time stamp, a "load by" time stamp, the size of the class, the type of compression being used, the type of security scheme being used, the type of error correction being used, other type information, the length of the class identifier (ID), the class identifier (ID), the lengths of the class ID for each of the required classes, and the class IDs for each of the required classes.

One embodiment of length of header information 401 comprises 16 bits denoting the size in bytes of the header added to the byte code file to provide timely delivery. One embodiment of version information 402 comprises two bits denoting the version of the scheme used to provide timely delivery of the byte code file. One embodiment of class/object flag 403 comprises one bit denoting whether the byte code file to which the header is appended is a class or an object. For example, a one represents a class while a zero represents an object.

One embodiment of the number of required classes information 404 comprises 13 bits denoting the number of classes that are required before loading this class (or before instantiation, in case of objects). One embodiment of the "start loading" time stamp 405 comprises 64 bits denoting the time after which class loading can begin once the class has been received and re-assembled completely. The length of the time stamps are set to 64 bits to accommodate NTP time stamps. Time stamps of fewer bits are padded

with extra bits to fill the 64-bit length. Each scheme can define the location of the decimal point to represent fractional time stamps. In cases where clock ticks are used (MPEG-2), all 64 bits can be used.

5 The time stamps may comprise representations of absolute or relative time. For example, the time stamps may represent the actual time of day or some other absolute measurement of time, or the time stamps may represent the time elapsed since the beginning of a session, the occurrence of an event, or some other relative measurement of time.

10 One embodiment of the "load by" time stamp 406 comprises 64 bits denoting the time by which the class has to be loaded absolutely. One embodiment of the size of class information 407 comprises 16 bits denoting the size in bytes of the data that is being transmitted.

15 One embodiment of the invention comprises type fields. Compress type field 408 comprises 4 bits to specify the type of compression used (0000 for objects or when no compression is used). Security type 409 field comprises 4 bits to specify the security scheme used (0000 if none used). Error correction
20 type field 410 comprises 4 bits to specify the error correction scheme used (0000 if none used). Type field 411 comprises 4 bits that are reserved for future use.

 One embodiment of class ID length information 412 comprises 32 bits denoting the length in bytes of class ID information 413. Class ID information
25 413 comprises a variable length string that identifies the classes (unique to

each session). The string is padded so that the length of the combination of class ID length information 412 and class ID information 413 is a multiple of 32 bits.

5 One embodiment of the header also comprises the class IDs and their lengths for each of the required classes. Class ID 1 length information 414 comprises 16 bits of information denoting the length of the class ID for the first required class. Class ID 1 information 415 comprises a variable length string that identifies the first required class and that is padded so that the
10 combined length of class ID 1 length information 414 and class ID 1 information 415 is a multiple of 32 bits.

Class ID length information and class ID information for required classes beyond the first required class follow class ID 1 information 415 and
15 occupy region 416. Class ID n length information 417 comprises 16 bits and specifies the length of the class ID for the nth required class. Class ID n information 418 comprises a variable number of bits that identify the nth required class and are padded to the next 32 bit boundary.

20 In one embodiment of the invention, each class is packaged as a separate unit. Thus, a header is appended to each class to enable timely delivery. Timely delivery is facilitated by providing a time frame within which the class is to be loaded. A "start loading" time stamp is provided for each class to indicate the time after which that class can be loaded. A "load
25 by" time stamp is provided for each class to indicate the time by which each

class needs to be loaded. The "load by" time stamp provides the guaranteed time after which the class can be expected to be available at the application.

The payload delivered by this scheme can be classes (compressed or uncompressed) or instances. To provide efficient, secure, and reliable There are three type fields in the header, which specify the attributes of the data (class or object).

Any suitable compression scheme may be used in conjunction with an embodiment of the present invention. A portion (e.g., 4 bits) of the header is designated to provide identification of the type of compression scheme used. For example, the bit pattern 0000 is used to denote no compression, while the bit patterns 0001 through 1111 are used to denote specific compression techniques.

Any suitable security scheme may be used in conjunction with an embodiment of the present invention. A portion (e.g., 4 bits) of the header is designated to provide identification of the type of security scheme used. For example, the bit pattern 0000 is used to denote no use of a security scheme, while the bit patterns 0001 through 1111 are used to denote specific security schemes.

Any suitable error resiliency scheme may be used in conjunction with an embodiment of the present invention. A portion (e.g., 4 bits) of the header is designated to provide identification of the type of error resiliency scheme

used. For example, the bit pattern 0000 is used to denote no use of an error resiliency scheme, while the bit patterns 0001 through 1111 are used to denote specific error resiliency schemes. A portion (e.g., 4 bits) of the header is reserved for future use.

5

One benefit of the use of an error resiliency scheme is that unreliable protocols, such as UDP, may be used to transmit byte code. Byte code that is incomplete or that has been affected by errors will not execute properly. Unreliable protocols, such as UDP, do not guarantee complete and error-free delivery of information. However, the addition of an error resiliency scheme allows completeness to be verified and errors to be corrected before byte code is executed. Thus, the transmission of byte code is no longer constrained to only reliable transport mechanisms.

10
15
20
Classes are identified by an ID, which is unique to the session. This ID can be used to identify classes when it is received multiple times. This can be used by objects to identify the class of which each is an instance. Java™ class names are used as ID's. Since these are variable length strings, the length of the string is also included in the header. The combination of the Class ID and its length (16 bits) are padded to the next 32-bit boundary.

Embodiments of the invention also provide a list of required classes. The "load by" time of each required class needs to be before the "start loading" time of a class that requires it. A 13-bit number is used to specify the number of classes that are required before loading/instantiating the class/object data.

The required classes are specified by their Class ID's (along with the length of their class ID's).

Figure 6 is a flow diagram illustrating a process by which byte code is prepared for timely delivery according to one embodiment of the invention. The process begins in step 601. In step 602, the byte code to be delivered is provided. In step 603, any desired compression, error resilience, and security schemes are performed on the byte code. Any combination of compression, error resilience, and security schemes may be performed in any order. For example, a security schemes may be applied, followed by an error resilience scheme without the use of a compression. Thus, any permutation of compression, error resilience, security schemes, or subsets thereof may be used. In step 604, a header is attached to the byte code. The header comprises information about the byte code. One embodiment of such a header is described with respect to Figure 4 above. Although the header is described as being attached to the byte code such that the header information precedes the byte code, the header can be located at any position with respect to the byte code, for example, at the end of the byte code, between portions of the byte code, or interleaved with the byte code.

In step 605, the byte code with the attached header is delivered via a transport mechanism. Any suitable transport mechanism may be used. For example, a transport mechanism that, by itself, guarantees delivery, but does not guarantee the timing of delivery, such as TCP, may be used.

Alternatively, a transport mechanism that guarantees timeliness, such as

RTP, may be used. As another alternative, a transport mechanism that does not guarantee delivery, such as UDP, may be used. In step 606, the process ends.

5 Figures 7A and 7B are flow diagrams illustrating a process by which byte code is received and used in a timely manner according to one embodiment of the invention. The process begins in step 701. In step 702, the byte code with the attached header is received via a transport mechanism. The transport mechanism may be any suitable transport mechanism. In step 10 703, the information contained in the header is read. In step 704, a decision is made as to whether or not additional classes need to be loaded before the byte code can be executed. Information used to make this determination may be extracted from the header. If additional classes need to be loaded, the process continues in step 706.

15 In step 706, a decision is made as to whether or not the "start loading time" specified in the header has passed yet. If not, the process returns to step 706 and waits until the "start loading time" has arrived. If the "start loading time" has arrived, the process continues in step 708 via reference B 707. In 20 step 708, the required classes are loaded. In step 709, a decision is made as to whether or not all required classes have been loaded. If not, the process continues to step 710. In step 710, a decision is made as to whether or not the "load by time" specified in the header has passed. If the "load by time" has not passed, the process returns to step 708, where the loading of required 25 classes continues. If, in step 710, the "load by time" has already passed, the

process continues to step 712. In step 712, the late loading error is handled. The late loading error handling may comprise notification that the required classes could not be loaded successfully by the "load by time" deadline. Based on this notification, a decision can be made as to whether the loading should
5 be rescheduled (for example, by specifying a new "load by time" deadline or whether the loading process should be cancelled (without execution of the byte code). From step 712, the process ends in step 713.

If in step 709, all required classes have been loaded, the process
10 continues in step 711. Also, if in step 704, no additional classes needed to be loaded, the process continues in step 711 via reference A 705. In step 711, the byte code is executed. The execution of the byte code may involve additional steps if security, compression, and/or error resilience schemes have been performed on the byte code. An example of a process comprising certain
15 additional steps is illustrated in Figure 8. From step 711, the process ends in step 713.

Figure 8 is a flow diagram illustrating a process by which delivered byte code is prepared for execution and executed according to one embodiment of
20 the invention. The process begins in step 801. In step 802, a decision is made as to whether or not a security scheme has been used. If a security scheme has been used, the process continues to step 803. In step 803, the security scheme that has been used is identified and the byte code is processed according to that security scheme. Identification of the security scheme may be performed
25 based on information found in the header information, such as that read in

step 703. From step 803, the process continues to step 804. If, in step 802, it is determined that no security scheme was used, the process continues in step 804.

5 In step 804, a decision is made as to whether or not a compression scheme has been used. If a compression scheme has been used, the process continues to step 805. In step 805, the compression scheme that was used is identified and the byte code is decompressed according to that compression scheme. Identification of the compression scheme may be performed based
10 on information found in the header information, such as that read in step 703. From step 805, the process continues in step 806. If, in step 804, it is determined that no compression scheme has been used, the process continues in step 806.

15 In step 806, a decision is made as to whether or not an error resilience scheme has been used. If an error resilience scheme has been used, the process continues to step 807. In step 807, the error resilience scheme that was used is identified and any errors or omissions that may have occurred are corrected or compensated. Identification of the compression scheme may be
20 performed based on information found in the header information, such as that read in step 703. From step 806, the process continues in step 808. If, in step 806, it is determined that no error resilience scheme was used, the process continues in step 808.

In step 808, the byte code is executed. Since one embodiment of the invention provides a mechanism for insuring that all required classes have been loaded before attempting execution of the byte code, successful execution of the byte code is provided. In step 809, the process ends.

5

Thus, a method and apparatus for providing timely delivery of a byte code stream has been described in conjunction with one or more specific embodiments. The invention is defined by the claims and their full scope of equivalents.

10

[illegible]

- 5

ABSTRACT OF THE DISCLOSURE

A method and apparatus for timely delivery of classes and objects is provided. A header comprising timing information is attached to said classes and/or objects. A "start loading" time and a "load by" time are specified in the header. Other classes and/or objects to be loaded are also specified in the header. Optional compression, security, and/or error resilience schemes are also specified in the header. A process for creating the header and attaching it to a class or object is provided. A process for receiving and processing a class or object with an attached header is provided. Embodiments of the invention allow timely delivery of classes and/or objects over a wide variety of transport mechanisms, including unreliable transport mechanisms and those lacking any guarantees of timely delivery.

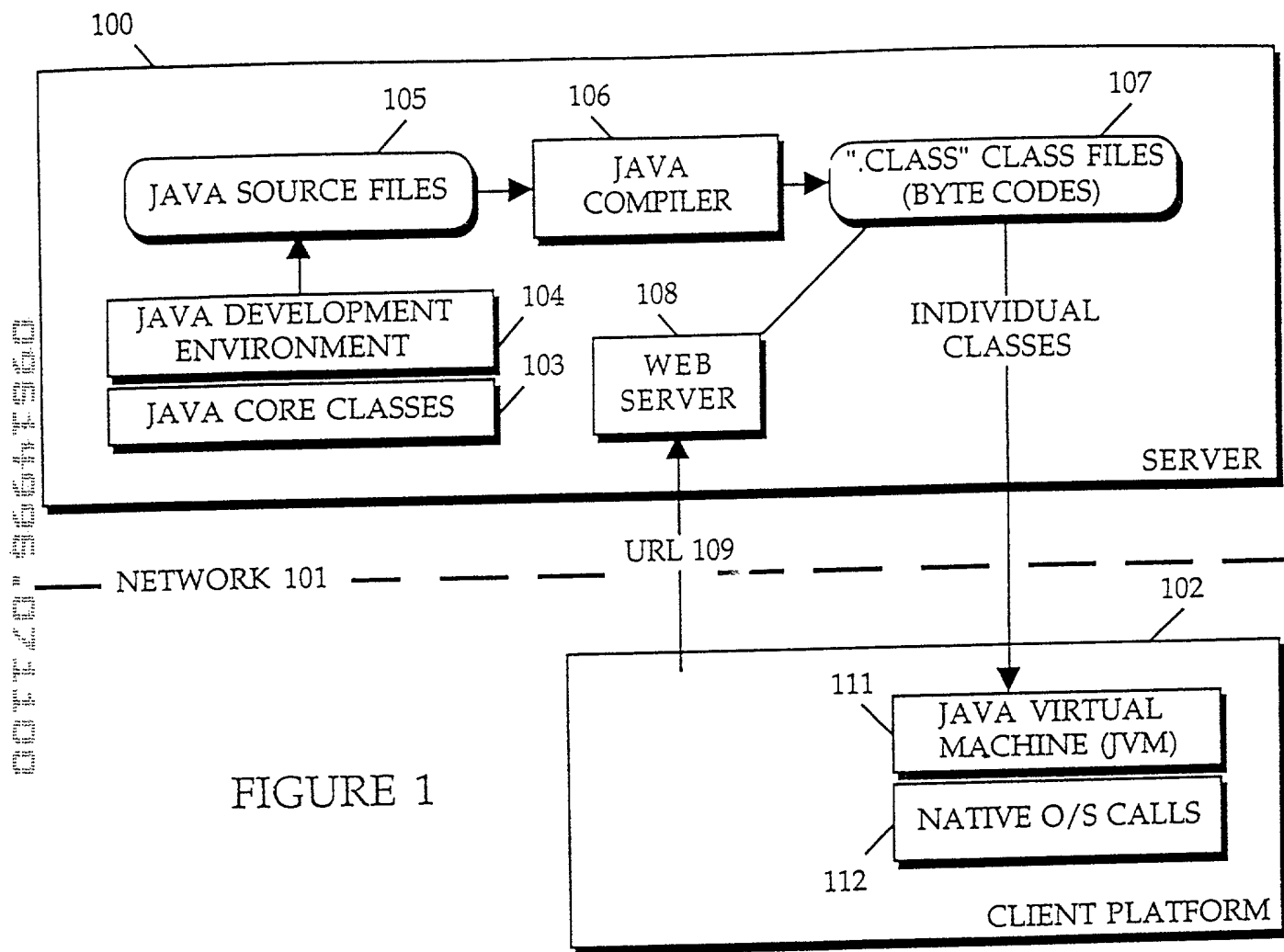
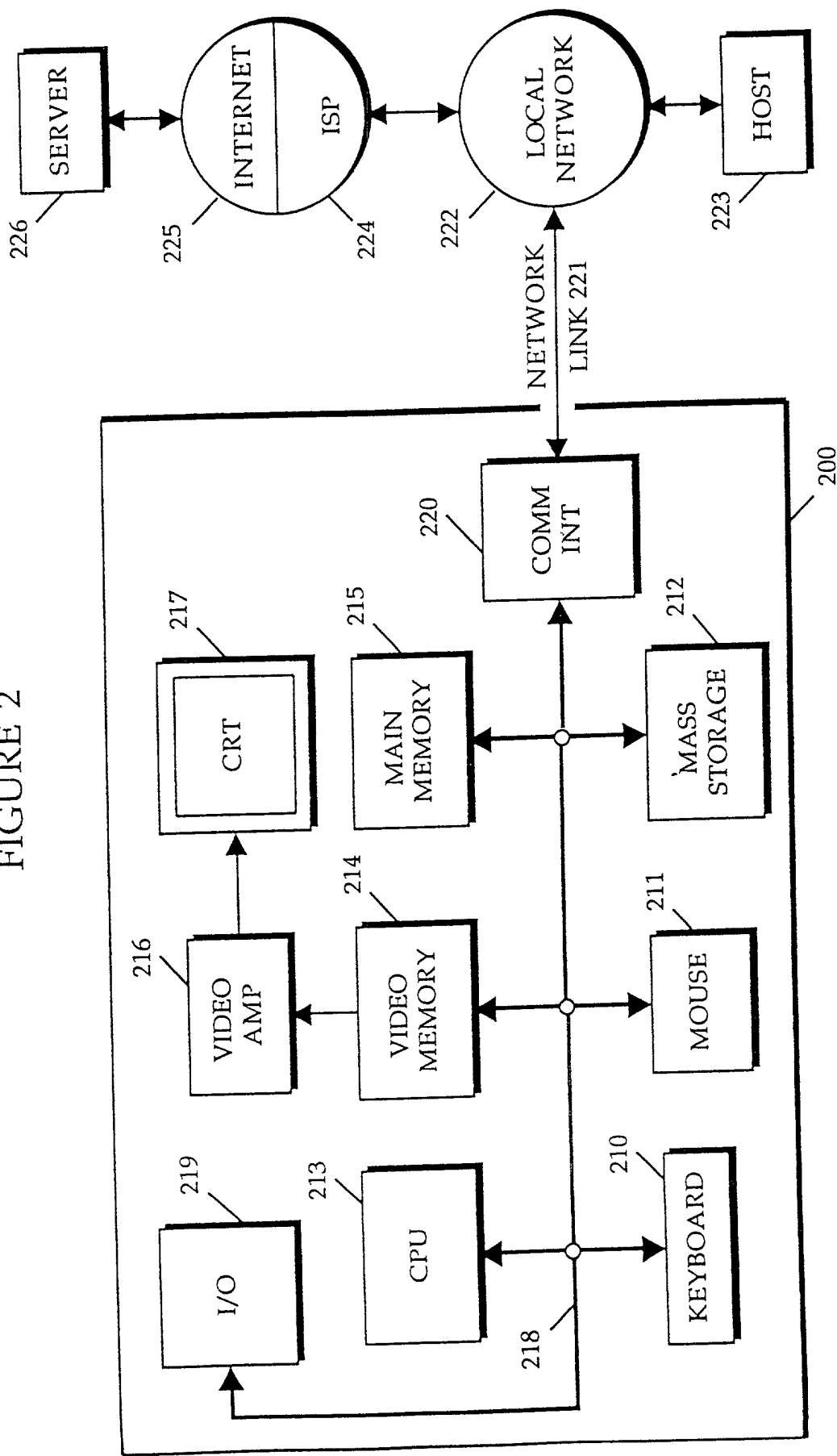


FIGURE 1

FIGURE 2



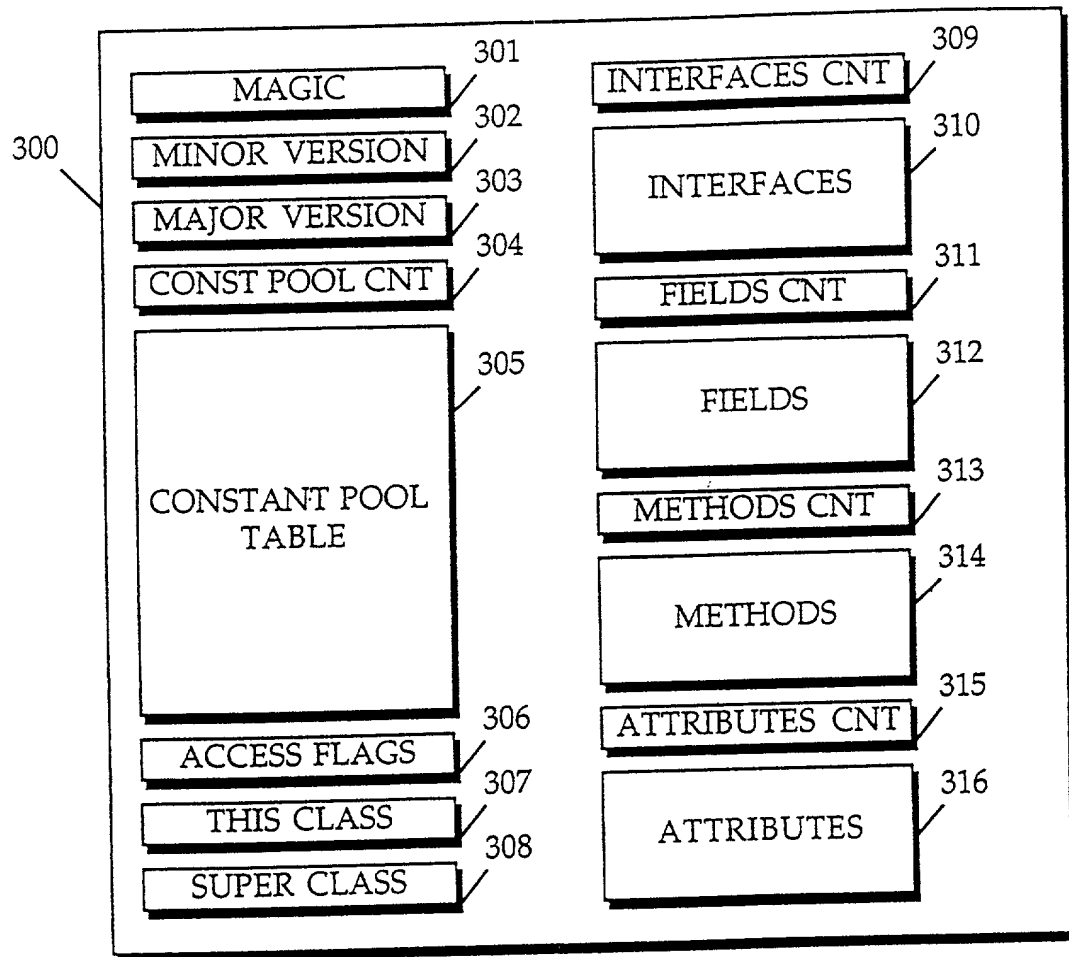
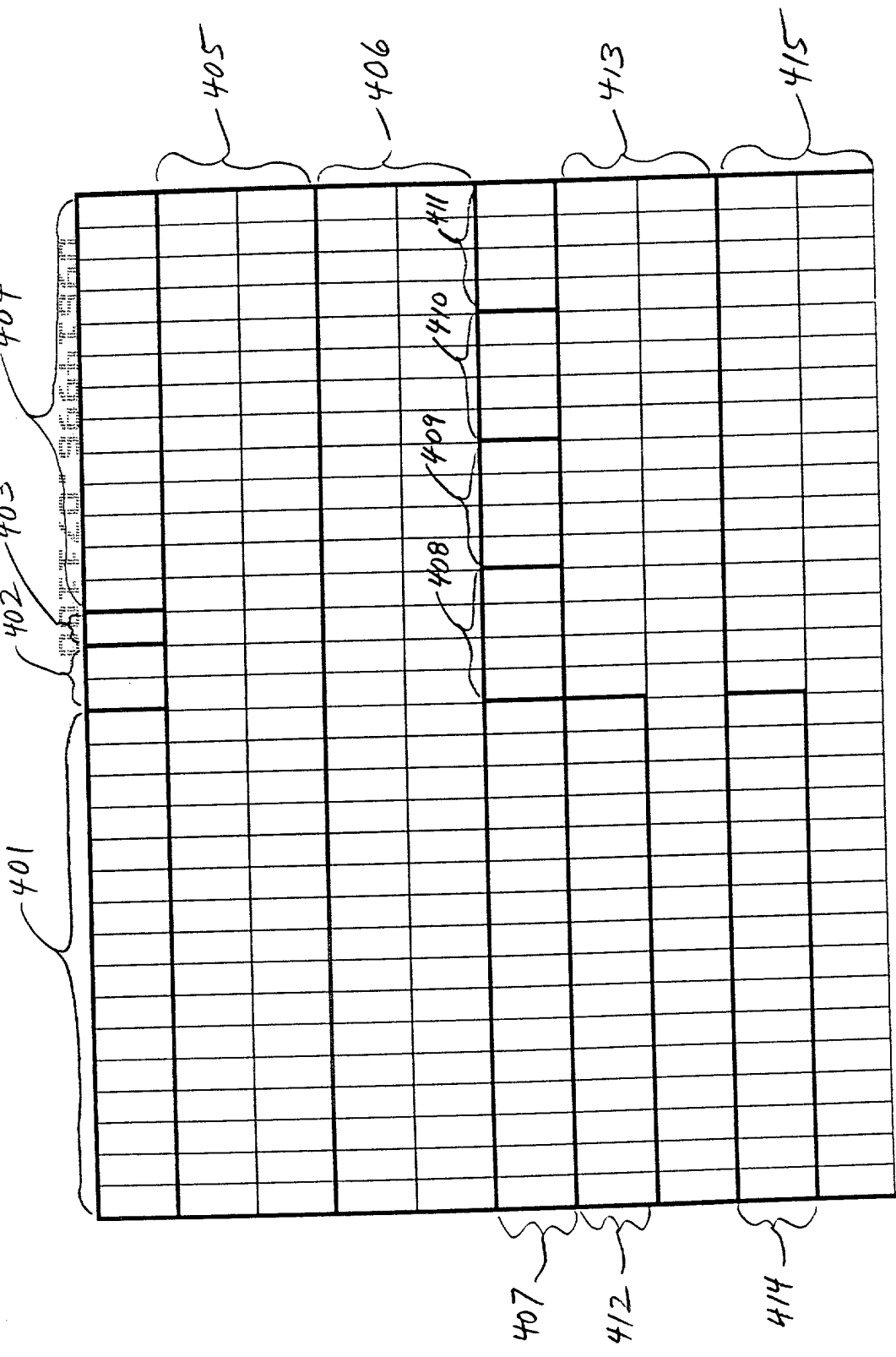


FIGURE 3



⋮ 416

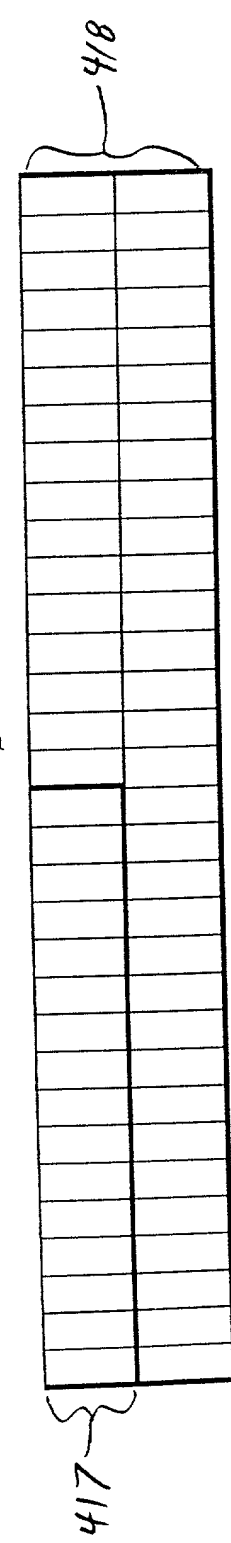


FIG. 4

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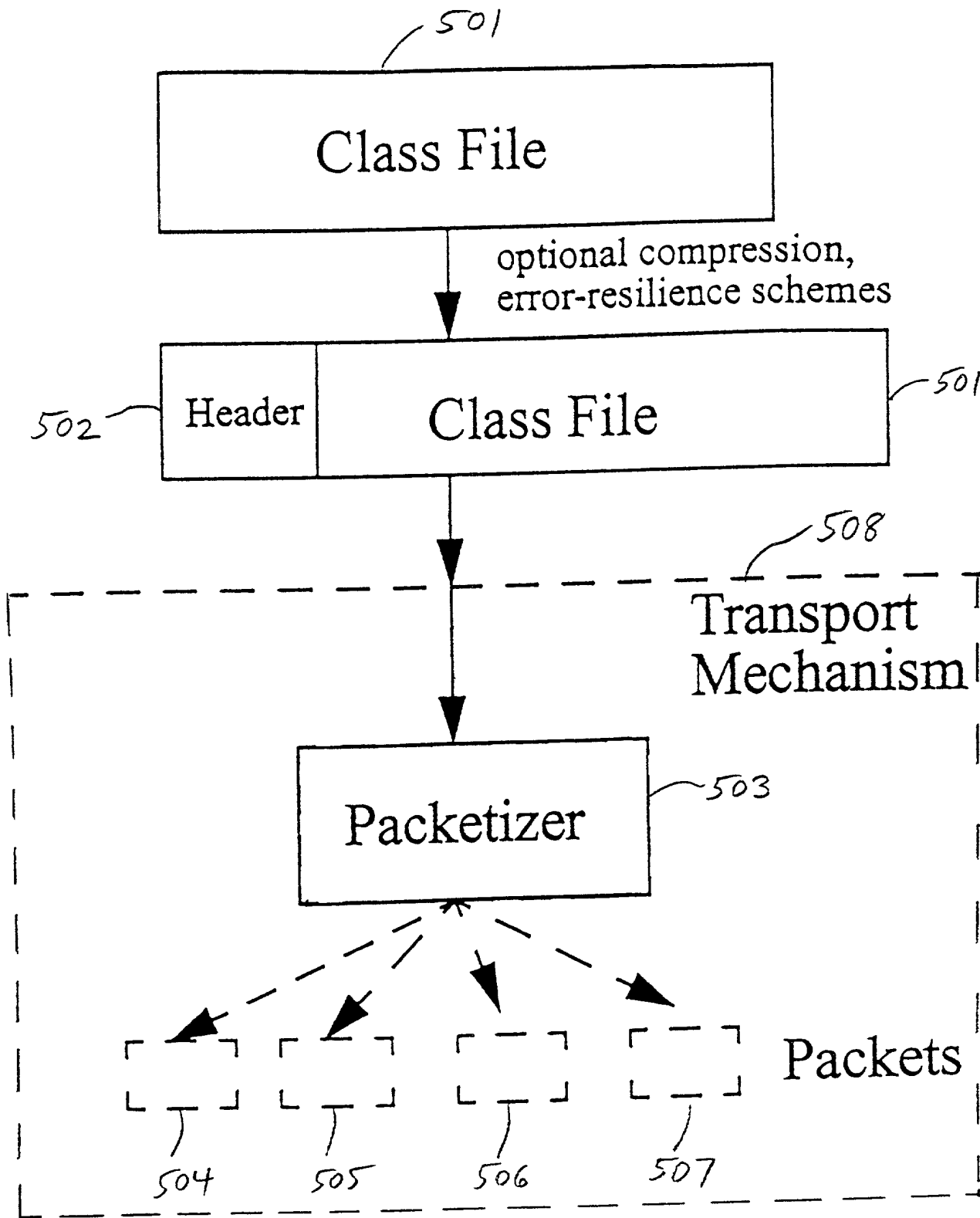


FIG. 5

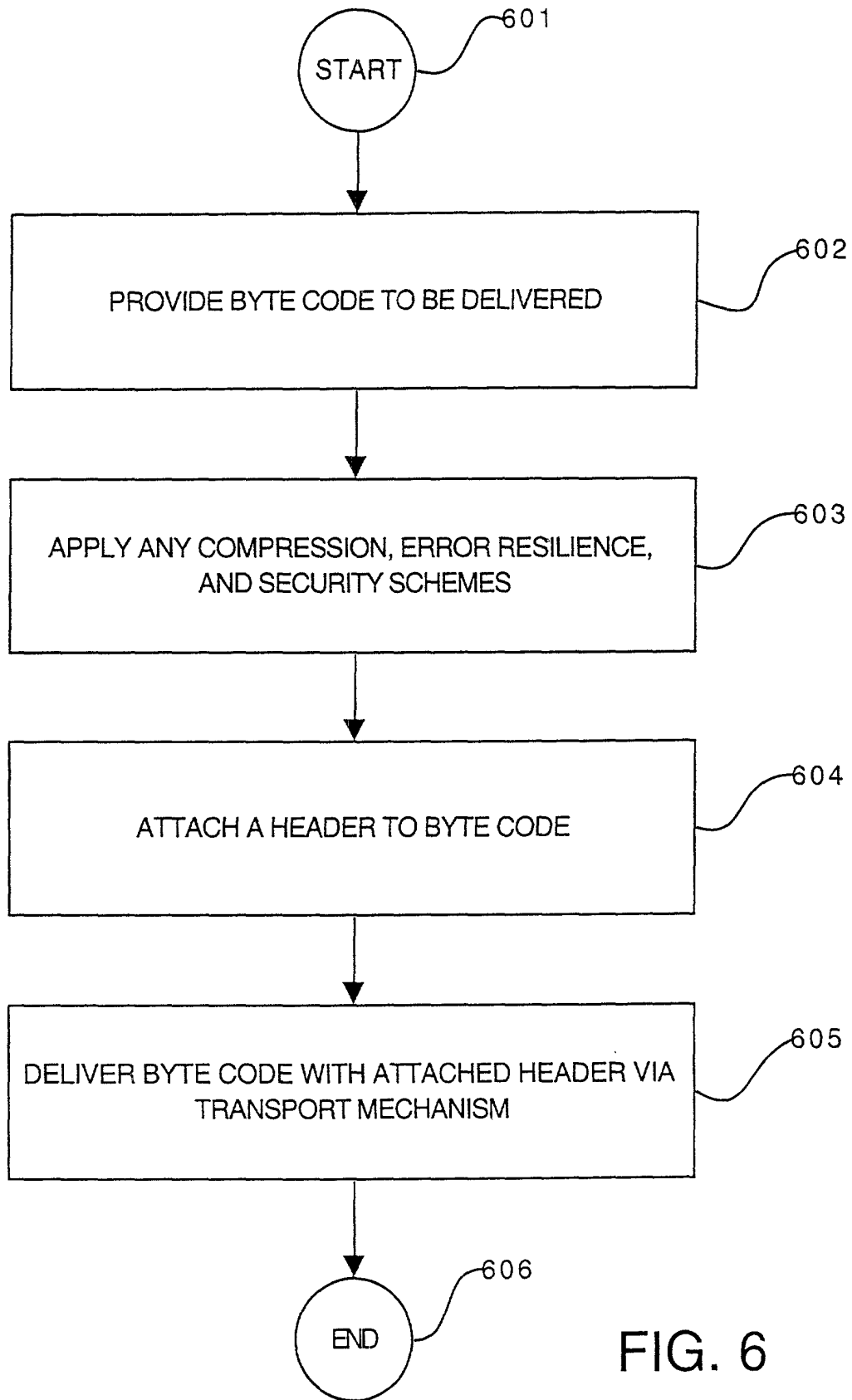


FIG. 6

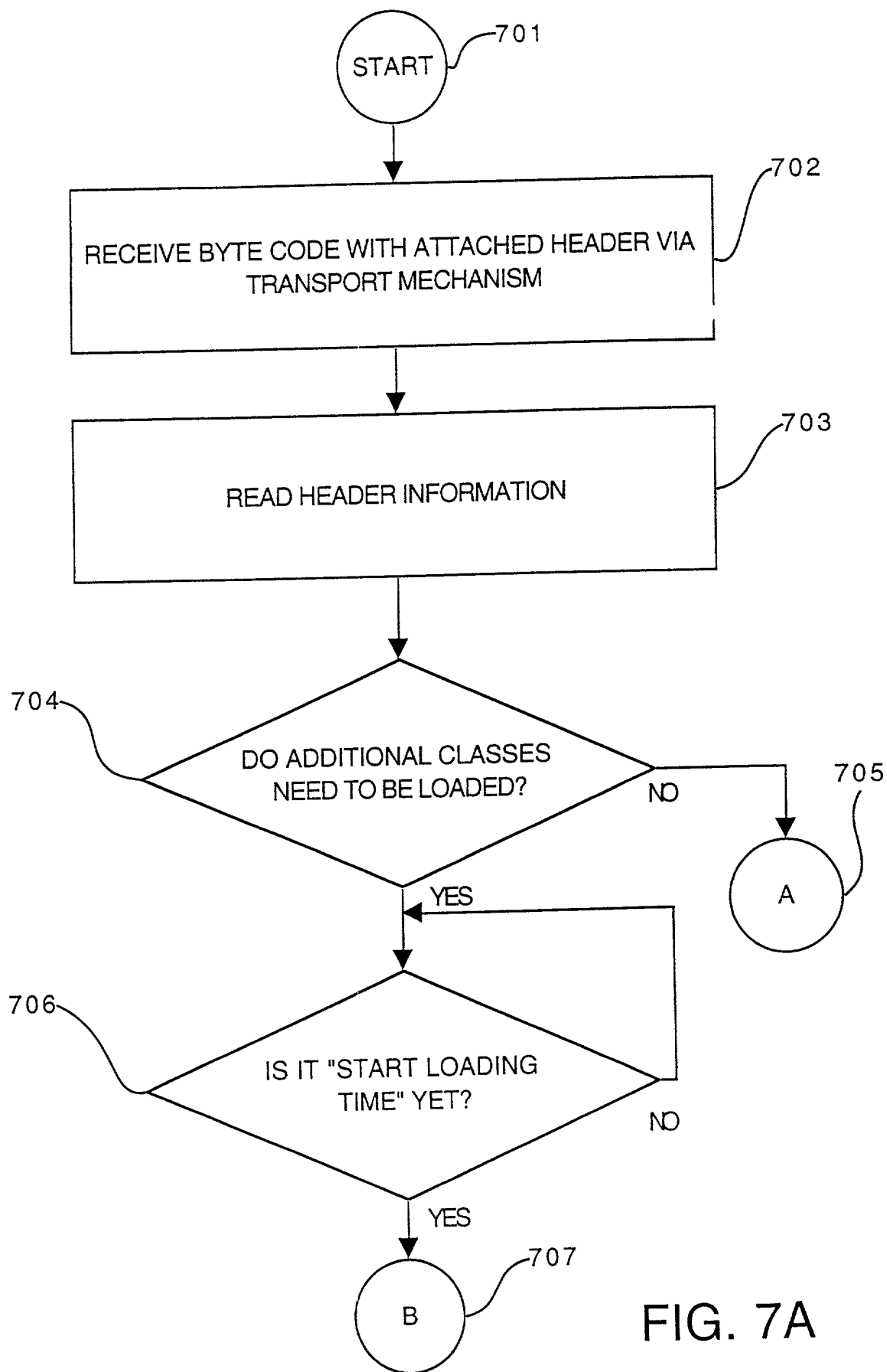


FIG. 7A

FIG. 7B

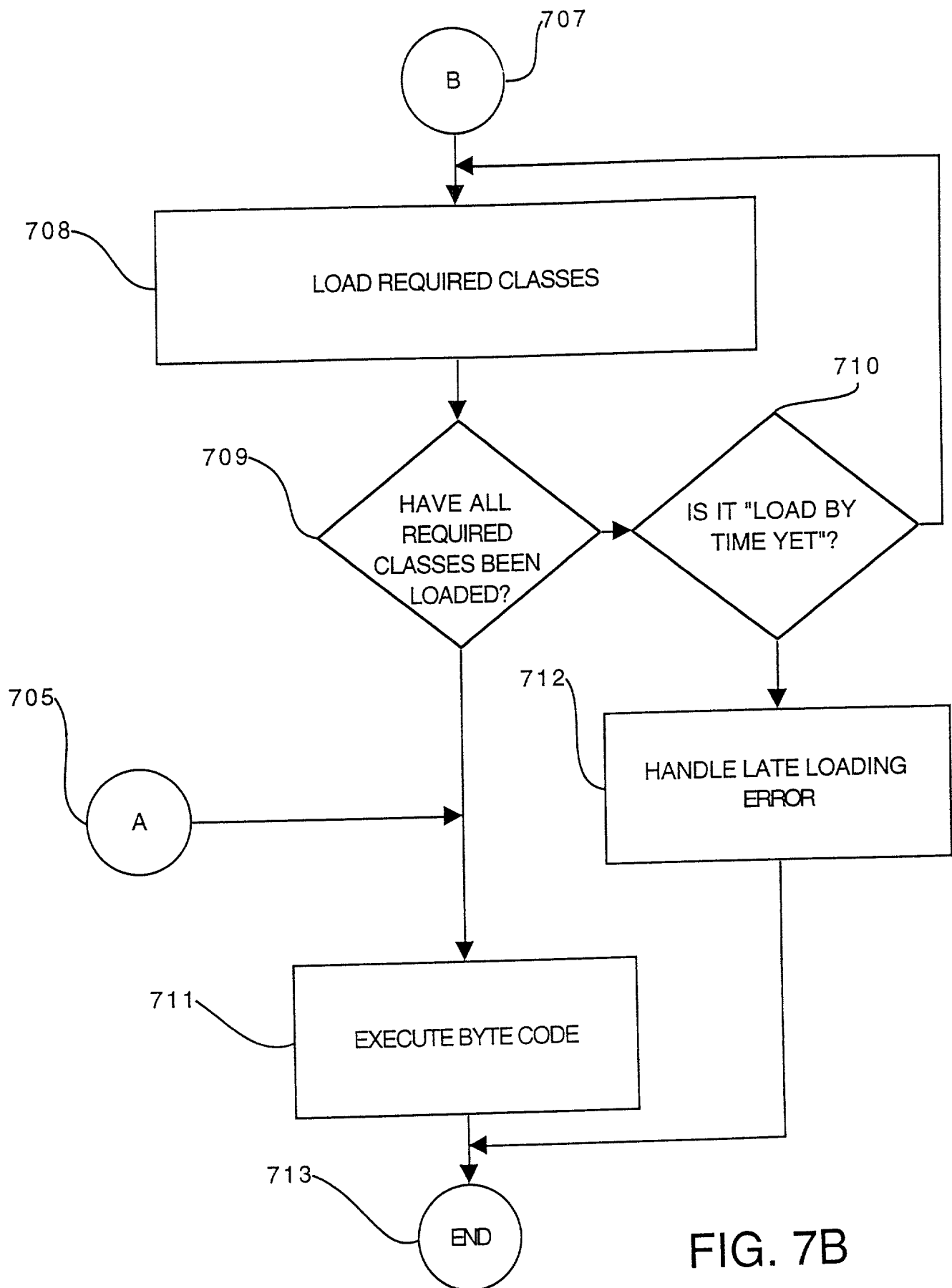


FIG. 7B

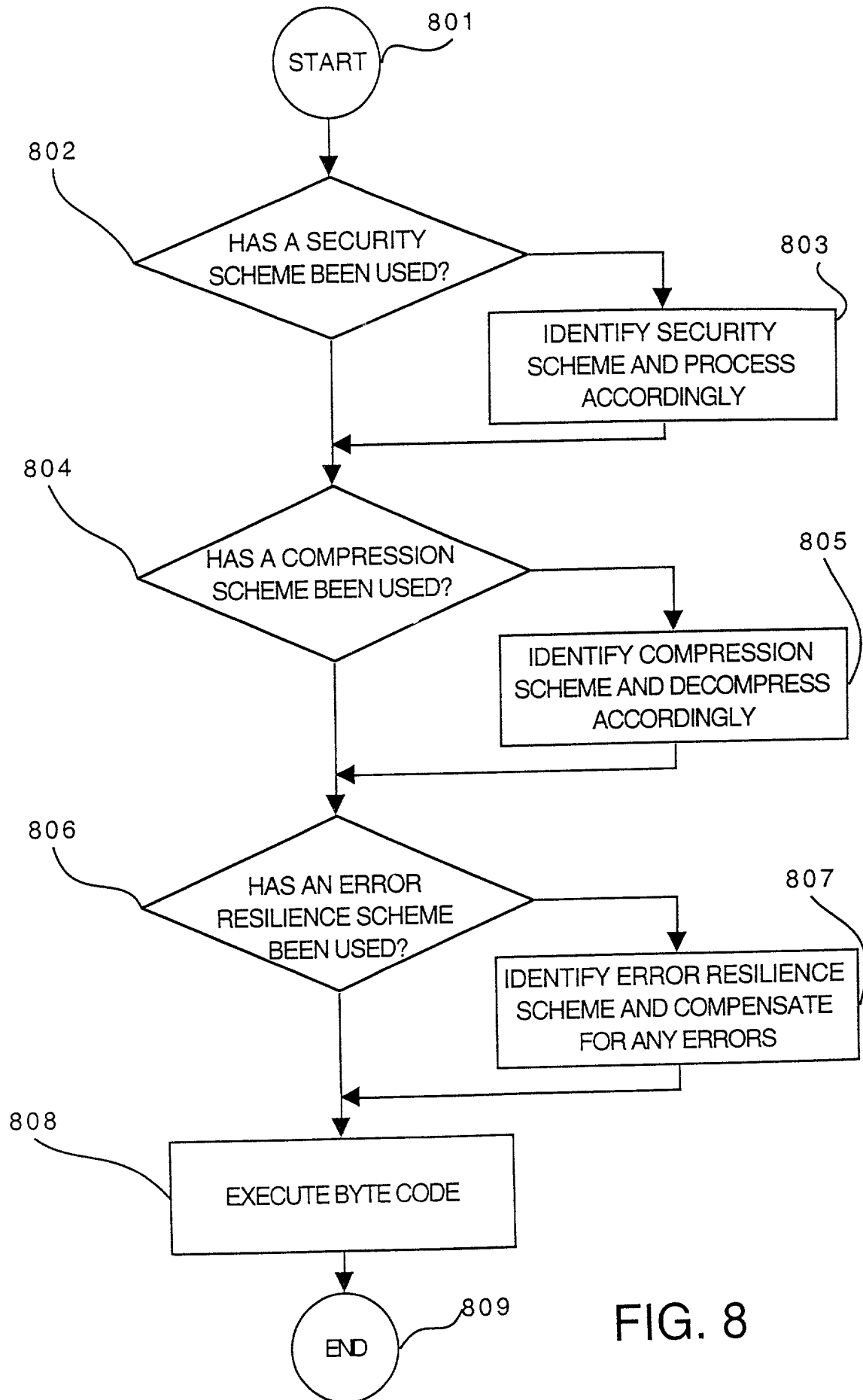


FIG. 8

DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below, next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

METHOD AND APPARATUS FOR TIMELY DELIVERY
OF A BYTE CODE AND SERIALIZED OBJECTS STREAM

the specification of which

XXX is attached hereto.
was filed on June 26, 1998 as
Application Serial No. 09/105,963
and was amended on _____
(if applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above. I do not know and do not believe that the same was ever known or used in the United States of America before my invention thereof, or patented or described in any printed publication in any country before my invention thereof or more than one year prior to this application, that the same was not in public use or on sale in the United States of America more than one year prior to this application, and that the invention has not been patented or made the subject of an inventor's certificate issued before the date of this application in any country foreign to the United States of America on an application filed by me or my legal representatives or assigns more than twelve months prior to this application.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56(a).

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<u>(Number)</u>	<u>(Country)</u>	<u>(Day/Month/Year Filed)</u>	<u>Yes</u>	<u>No</u>
<u>(Number)</u>	<u>(Country)</u>	<u>(Day/Month/Year Filed)</u>	<u>Yes</u>	<u>No</u>
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(Application Serial No.)	(Filing Date)	(Status -- patented, pending, abandoned)
(Application Serial No.)	(Filing Date)	(Status -- patented, pending, abandoned)

I hereby appoint HECKER & HARRIMAN, a firm including: Gary A. Hecker, Reg. No. 31,023; J.D. Harriman II, Reg. No. 31,967; Frank M. Weyer, Reg. No. 33,050; Carole A. Quinn, Reg. No. 39,000; Ross D. Snyder, Reg. No. 37,730; Jason S. Feldmar, Reg. No. 39,187; and Todd N. Snyder (Patent Agent), Reg. No. 41,320, with offices located at 1925 Century Park East, Suite 2300, Los Angeles, California 90067, telephone (310) 286-0377, and of SUN MICROSYSTEMS, INC.: Kenneth Olsen, Reg. No. 26,493; Matthew C. Rainey, Reg. No. 32,291; Erwin J. Basinski, Reg. No. 34,773; Timothy J. Crean, Reg. No. 37,116; Philip J. McKay, Reg. No. 38,966; Robert S. Hauser, Reg. No. 37,847; Patrick J.S. Inouye, Reg. No. 40,297; Joseph T. FitzGerald, Reg. No. 33,881 and Alexander E. Silverman, Reg. No. 37,940 with offices located at 901 San Antonio Road, M/SPAL01-521, Palo Alto, California 94303, as my attorneys with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected herewith.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

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Inventor's Signature _____ Date _____

Residence _____ (City, State) _____ Citizenship _____ (Country) _____

Post Office Address _____

Full Name of Sole Inventor MICHAEL SPEER

Inventor's Signature _____ Date _____

Residence _____ (City, State) _____ Citizenship _____ (Country) _____

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September 23, 1998

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Mario Federis

09/23/98

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the specification of which

XXX is attached hereto.
was filed on June 26, 1998 as
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(if applicable)

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Full Name of Sole Inventor VISWANATHAN SWAMINATHAN

Inventor's Signature _____ Date _____

Residence _____ (City, State) Citizenship _____ (Country)

Post Office Address _____

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Inventor's Signature *[Signature]* Date 7/21/98

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MOUNTAIN VIEW, CA 92040

Full Name of Sole Inventor MICHAEL SPEER

Inventor's Signature _____ Date _____

Residence _____ (City, State) Citizenship _____ (Country)

Post Office Address _____

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September 23, 1998

Signature *[Signature]*
Mario Federis

Date 09/23/98

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<u>(Number)</u>	<u>(Country)</u>	<u>(Day/Month/Year Filed)</u>	<u>Yes</u>	<u>No</u>
<u> </u>	<u> </u>	<u> </u>	<u> </u>	<u> </u>
<u>(Number)</u>	<u>(Country)</u>	<u>(Day/Month/Year Filed)</u>	<u>Yes</u>	<u>No</u>
<u> </u>	<u> </u>	<u> </u>	<u> </u>	<u> </u>

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(Filing Date)

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I hereby appoint HECKER & HARRIMAN, a firm including: Gary A. Hecker, Reg. No. 31,023; J.D. Harriman II, Reg. No. 31,967; Frank M. Weyer, Reg. No. 33,050; Carole A. Quinn, Reg. No. 39,000; Ross D. Snyder, Reg. No. 37,730; Jason S. Feldmar, Reg. No. 39,187; and Todd N. Snyder (Patent Agent), Reg. No. 41,320, with offices located at 1925 Century Park East, Suite 2300, Los Angeles, California 90067, telephone (310) 286-0377, and of SUN MICROSYSTEMS, INC.: Kenneth Olsen, Reg. No. 26,493; Matthew C. Rainey, Reg. No. 32,291; Erwin J. Basinski, Reg. No. 34,773; Timothy J. Crean, Reg. No. 37,116; Philip J. McKay, Reg. No. 38,966; Robert S. Hauser, Reg. No. 37,847; Patrick J.S. Inouye, Reg. No. 40,297; Joseph T. FitzGerald, Reg. No. 33,881 and Alexander E. Silverman, Reg. No. 37,940 with offices located at 901 San Antonio Road, M/SPAL01-521, Palo Alto, California 94303, as my attorneys with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected herewith.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

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